# PART THREE: AREA PLAN MAINTENANCE &

# **Introduction**

Maintenance of the Area Plan includes not only following through in the planning process, but also includes annual Updates and Year-End Reports. The Area Plan Guidance provides Update instructions and reminders marked with "吾" throughout the document.

The Reference Guide for the Four-Year Area Plan is formatted to allow for insertion of annual changes to be submitted as Area Plan Updates for 2006-2007, 2007-2008 and 2008-2009. The Reference Guide also allows for evaluation of activities at the end of each year which will lead to the development of the annual Year-End Report. This section provides directives for submission of required annual Updates and Year-end Reports, as well as Amendments to the Area Plan any time a major change occurs that affects the AAA goals and/or objectives.

## **AAA Reporting Responsibilities**

Report Due Dates. Area Plans, Budgets, Area Plan Updates, and Year-End Reports are due to CDA on the dates listed on the tables provided on the following pages. The due dates are firm and there are no provisions for granting individual extensions. If the AAA will be unable to meet the deadline, staff must notify CDA **immediately** of the anticipated submission date and the reason for the delay.

It is the responsibility of AAA staff to schedule items for the Governing Board and Advisory Council meeting agendas to assure that documents will be reviewed and approved in accordance with meeting CDA timelines. (See submittal tables in Part Three Section A.)

Late Reports. If an Area Plan, Update, or Year-End Report will be delayed while waiting for the Transmittal Letter to be signed, the AAA may send a preliminary copy to CDA. The copy must be clearly marked DRAFT, with a cover letter explaining the reason for the delay and the anticipated date for submission of the approved Area Plan and the signed Transmittal Letter. If any changes are made to the draft document prior to final approval, those changes must be explained when the approved copy is sent to CDA. The Area Plan, Update, or Year-End Report will not be approved until all documents have been received.

# **SECTION A: REQUIREMENTS**

# 1. RESOURCE TABLE FOR <u>WHEN</u> AREA PLAN DOCUMENTS ARE DUE

#### Area Plan, Updates, and Budgets

Period Covered	Date Due to CDA		
Four Year Area Plan for 2005-2009 and			
Budgets for 2005 – 2006	Not later than May 1, 2005		
Update and Budgets for 2006-2007	Not later than May 1, 2006		
Update and Budgets for 2007-2008	Not later than May 1, 2007		
Update and Budgets for 2008-2009	Not later than May 1, 2008		

- Update components must be inserted into the appropriate section of the original Area Plan annually. The pages for each annual Update must be numbered for insertion in the appropriate section of the Four-Year Area Plan.
- The annual Budget will be submitted separately to the CDA Fiscal Team, and the pages will <u>not</u> be numbered for insertion in the Area Plan document.

## Year-End Reports<sup>14</sup>

Period Covered	Date Due to CDA
Fiscal Year 2005 – 2006	Not later than August 31, 2006
Fiscal Year 2006 – 2007	Not later than August 31, 2007
Fiscal Year 2007 – 2008	Not later than August 31, 2008
Fiscal Year 2008 – 2009	Not later than August 31, 2009

 Copies of the Year-End Reports are to be filed at the AAA with the original Area Plan documents as annual attachments.

#### Amendments to the Area Plan

In addition to the required annual Updates, an AAA shall submit an Area Plan Amendment to CDA any time a major change occurs that affects its goals and/or objectives. (CCR Article 3, Section 7304)

<sup>&</sup>lt;sup>14</sup> A completed Year-End Report Transmittal Letter is to be submitted with all Year-End Reports.

# 2. RESOURCE TABLE FOR $\underline{\mathsf{WHAT}}$ AREA PLAN DOCUMENTS ARE REQUIRED

Area Plan Component	Submit with the Origin al Area Plan	Submit Annually with Area Plan Update	Submit with Area Plan Amendment (For Major Changes)	Submit Annually with Year-End Report
Transmittal Letter	Х	X	X	X
Area Plan Checklist	Х	X		
Narrative Description of Changes		X	X	X
Part One: Area Plan Background Section A: Setting the Stage				
Description of the Planning and Service Area	Х	X*	X*	
Description of the Area Agency on Aging	Х	X*	X*	
Mission Statement	Х	X*	X*	
Organization Charts	Х	X*	X*	
Section B: Establishing Priorities				
The Planning Process	Х			
Needs Assessment Activities	Х	X*	X*	
Targeting	Х		X*	
Identification of Priorities	Х		X*	
Part Two: Area Plan Goals and Objectives Section A: General Instructions Section B: Goals and Objectives Guidelines System-Building and Administrative Goals & Objectives**	X	X	X	X
Title III B Funded Program Development (PD) Objectives	X^	X^	X^	χ^
Title III B Funded Coordination (C) Objectives	ΧΛ	X^	X^	Χν
Service Unit Plan Objectives	X	X	X*	X
Part Three: Area Plan Maintenance ₽	^	^	^	^
Section A: Updates and Amendments  Annual Area Plan Update Process  How to Amend the Area Plan				
Section B: Year-End Reporting				X
Part Four: Appendices	V	V*	\/*	
Appendix IA and IB	X	X*	X*	
Appendix II	X	X	X	
Appendices III, IV, V, VI, VII, VIII	X	X*	X*	
Appendix IX	V	V		
Appendix X	X	X	V	
Appendix XI	X		X	
Appendix XII	X	X	X	
Appendix XIII	X	X	X	
Part Five: Assurances Area Plan Budgets	X	X		

<sup>\*</sup> If applicable (only if changes occur).

<sup>\*\*</sup> Objectives may be updated at any time and need not conform to a twelve month time frame.

<sup>^</sup> If the AAA funds PD and/or C with Title III B.

## **SECTION B: UPDATES AND AMENDMENTS**

## 1. ANNUAL AREA PLAN UPDATE PROCESS A

#### a. Purpose:

The purpose of the Area Plan Updates is to provide a process for the AAAs to document changes in the Area Plan. The annual Update provides CDA with upto-date information for state and federal reporting. The updated copy of the Area Plan maintained by the AAA assures that the current version is readily accessible to staff and the public.

## b. Required Content: &

The CCR Article 3, Section 7304, requires annual submission of an Area Plan Update no later than May 1, preceding the fiscal year in which the Update is to take effect. The following components are required in the Update:

- 1. A <u>Transmittal Letter</u> with all required signatures.
- 2. The <u>Area Plan Checklist</u> the Area Plan Checklist is available on the website to complete electronically. The Checklist must be submitted in <u>hard copy</u> with the Area Plan.
- 3. A <u>Narrative Description of Significant Changes</u> to the Area Plan and factors that necessitated those changes. (A new organization chart is required for changes in AAA structure or staff time.)
  - a. The narrative is intended to permit the reader to easily identify changes for each year of the 2005-2009 Area Plan. Include any significant problems and/or accomplishments experienced by the AAA related to specific categories in the Service Unit Plans.
  - b. This description may be a simple listing of key changes to the Area Plan in bullet format under the heading of "Changes" for each year:
    - Changes 2006-2007
    - Changes 2007-2008
    - Changes 2008-2009
  - c. The narrative section must include an <u>estimate of the number of low-income minority older individuals</u> in the PSA.

## 4. Revised Goals and/or Objectives

- Revisions to goals and/or objectives (See Part Two, Goals and Objectives) must document proposed changes and identify new, continued, revised, completed, and deleted objectives annually. For PD and C only please submit this section electronically in Word only.
- The AAA may submit an entirely new set of goals and objectives that
  include the prior and new objectives, or individual replacement pages
  reflecting changes may be submitted to insert in the existing section, as
  long as the history is retained.
- If additional pages are submitted to insert in the four-year plan, number the pages to reflect the appropriate placement. For example, if two new pages are to be inserted between pages 12 and 13, number the new pages 12-1 and 12-2. Submit only the updated pages.
- 5. A description of <u>needs assessment activities</u> planned for the coming fiscal year, <u>if any</u>. Please submit this section electronically in Word only.
- Revised <u>Service Unit Plan (SUP) Objectives</u> for Title III/VII, Title III E, Title V, CBSP, and HICAP.

must be submitted electronically in Word only. 🖧

- Proposed service units by service category must be entered for <u>all</u> SUP objectives at the beginning of each new fiscal year for a minimum of oneyear or for multiple years. Data for all prior years of the four-year planning cycle must be retained.
- 7. <u>Appendix II</u>, along with any other <u>Appendices for which there are changes</u> for the coming year.
  - The Appendix templates provided with the Four-Year Area Plan Reference Guide must be used for the four-year planning period with modifications as required for each new fiscal year.
- 8. A signed copy of the <u>Area Plan Budget</u>, as well as the Title V and HICAP Budgets if the AAA receives funding for those programs (Transmit Budgets directly to the CDA Fiscal Team and do not include in the Update package).

## c. <u>Directions for Submission of Update Documents</u>: **-**

- Unless otherwise specified, Area Plan Updates are due to CDA annually by May 1. (See Area Plan Timetables and Submittal Requirements in Part Three Section A)
- Submit the following documents electronically to DWight@aging.ca.gov
  - 1. Service Unit Plan (SUP)
  - 2. Needs Assessment Activities (either send the page it is on in the Area Plan or move the information to a separate document.)
  - 3. Appendix XI Disaster Preparation Planning
  - 4. Appendix XII Baby Boomer Information
  - 5. Program Development and Coordination Narrative Objectives

Send the original and two copies with the Transmittal Letter with original signatures via postal mail to:

California Department of Aging Attention: Area Plan Review Unit/Denny Wight 1300 National Drive, Suite 200 Sacramento, CA 95834

- Submit **changes** to the original Area Plan **only**. Do **not** send an entirely new Area Plan.
- Place the completed <u>Area Plan Update Checklist</u> behind the Transmittal Letter.
- Insert the Narrative of Significant Changes behind the Checklist.
- Attach the remaining documents in the order in which they will be inserted in the four-year Area Plan.

#### d. Resource: Diagrams of the Update Process

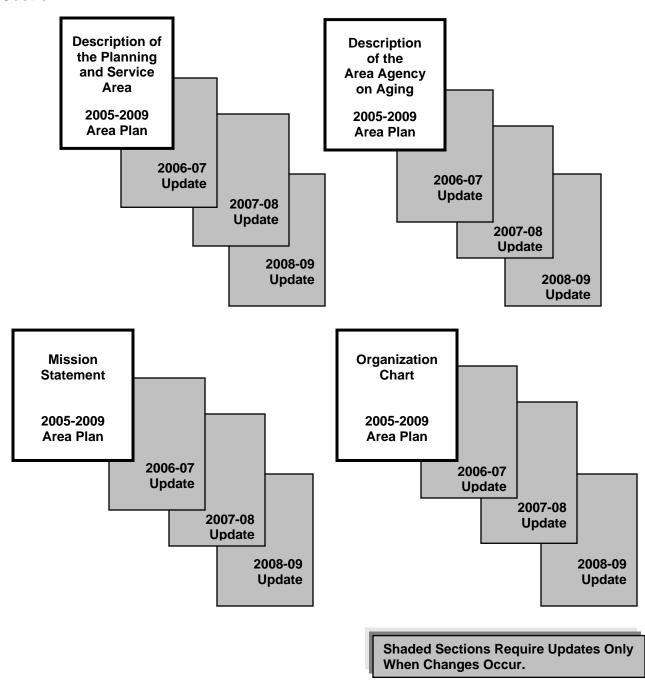
The diagrams in this section provide a visual overview of the documents that are required for the four-year Area Plan and annual Updates. 

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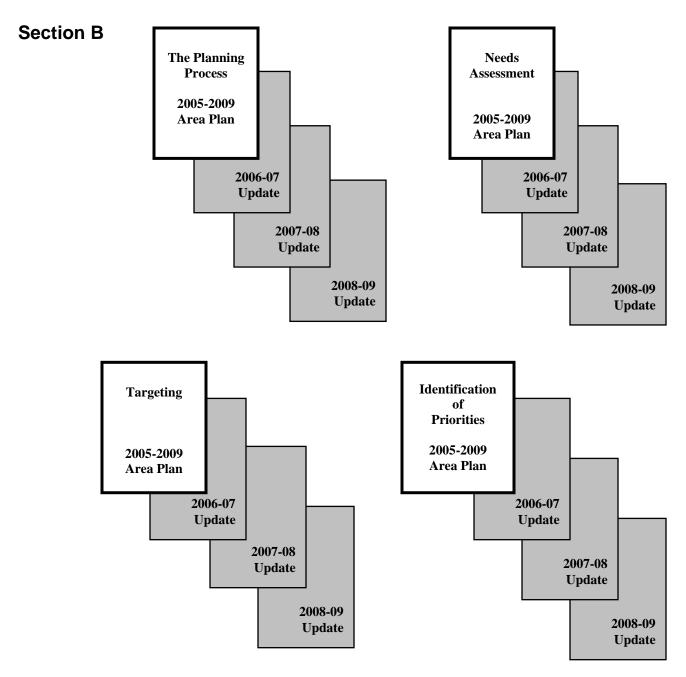
The annual Updates **母**consist of changes and additions to the four-year Area Plan. Do <u>not</u> submit an entirely new Area Plan. Number the pages for insertion in the original four-year Area Plan.

## Part One: Area Plan Background

### **Section A**

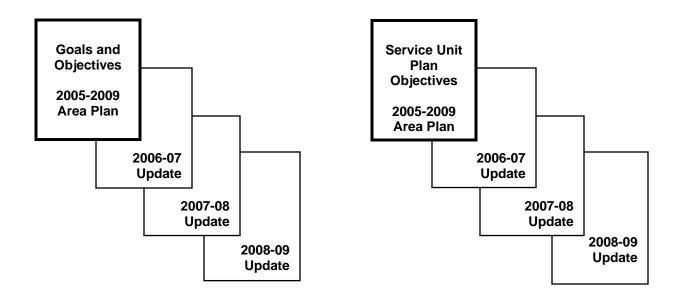


# Part One, Continued

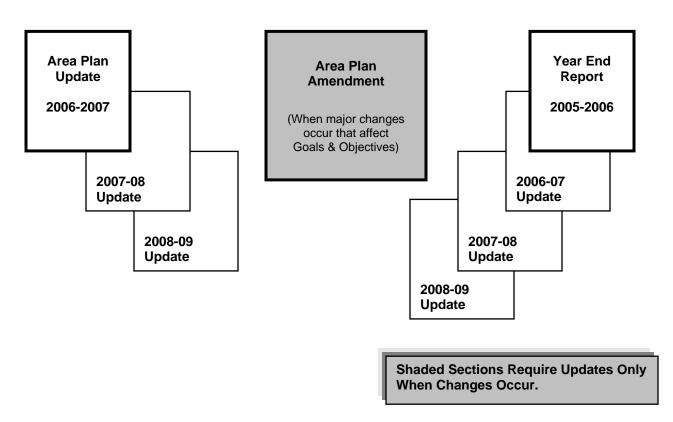


**Shaded Sections Require Updates Only When Changes Occur.** 

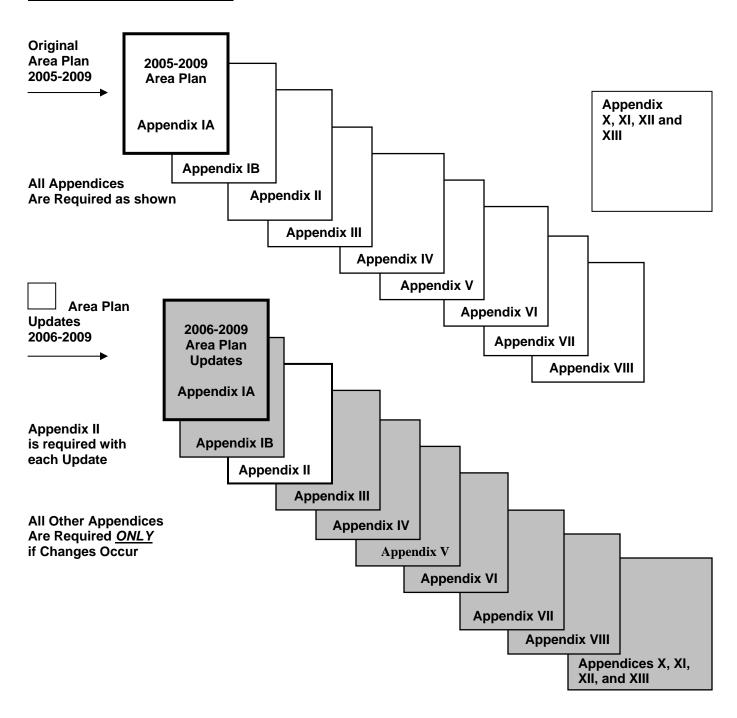
# Part Two: Area Plan Goals and Objectives



# Part Three: Area Plan Maintenance



# **Part Four: Appendices**



Shaded Sections Require Updates Only When Changes Occur.

#### 2. HOW TO AMEND THE AREA PLAN

#### a. Purpose:

The purpose of this section is to provide direction on when and how to submit Amendments to the Area Plan.

Area Plan Amendments are defined in CCR Article 3, Section 7306. In addition to the required annual Updates specified in CCR Article 3, Section 7304, an AAA must submit an Area Plan Amendment to CDA any time a major change occurs that affects its goals and/or objectives. Amendments are <u>not</u> required on a routine basis.

## b. Required Content: &

- 1. <u>Major changes that would generate an Amendment shall include, but not be limited to:</u>
  - Unforeseen changes in the PSA due to natural disasters and/or changes in the local demographics. (Amend Part One Section A)
  - Changes in the AAA, such as a change in the administrative structure and/or placement of the AAA within a larger organization. (Amend Part One Section A)
  - Changes in the spectrum of local available resources. (Amend Part One Section B)
  - Changes in the priority needs of older individuals residing in the PSA.
     (Amend Part One Section B)
  - Any Program Development or Coordination objectives that have not previously been included in the Area Plan. (Amend Part Two Section B)
- 2. <u>Area Plan Amendments shall follow the same public hearing guidelines as required for the Four-Year Area Plan and Updates.</u> (Must amend Appendix II)
- 3. The following documents must be submitted with an Area Plan Amendment:
  - A signed Transmittal Letter.
  - A Narrative Description of Significant Changes that includes an explanation of the change(s) being submitted and the reasons for each change.

- A statement of the revised goals and objectives resulting from the change(s), along with the applicable revised goal and/or objective template(s).
- Changes to the applicable Service Unit Plan Objectives.
- Corresponding Budget(s) must be submitted with the next scheduled Budget Revision
- Appendix II and all Appendices that reflect the applicable changes.
- 4. Amend any other section or Appendix in the Area Plan that is affected by the change(s).

(See Area Plan Timetables and Submittal Requirements in Part Three Section A)

## c. <u>Directions for Submission of Amendments:</u>

Send the original and two copies and the Transmittal Letter with original signatures via postal mail to:

California Department of Aging
Attention: Area Plan Review Unit/Denny Wight
1300 National Drive, Suite 200
Sacramento, CA 95834

# 3. YEAR-END REPORTING 日

#### a. Purpose:

The purpose of the Year-End Report is to provide a retrospective account of progress made toward specified goals during the preceding fiscal year, including the targeting objectives cited in Part Two. The Year-End Report provides a performance report for the community and CDA, which CDA uses when reporting to federal and State officials on AAA activities, achievements, and significant barriers to local goals. It reaffirms the important role of the AAA as the advocate, planner, and administrator of programs for seniors and their caregivers, and adults with disabilities in the local PSA.

A Year-End Report should be used to inform the public about: (1) the AAA's key activities during the preceding year; (2) significant achievements during the preceding year; and (3) the difficulties the AAA has encountered in executing its charge. It is similar, in this respect, to a corporate annual report. Significant findings from Year-End Reports must be considered as the next Update is prepared.

## b. Required Content: &

The Older Americans Act Section 306(a)(4)(A)(i) and (ii) establishes the requirement that the AAA will set specific objectives in the Area Plan for providing services to low income minority individuals and older individuals residing in rural areas and must specify how contractors will meet the service requirements as specified. Further, Section 306(a)(4)(A)(iii) requires that the AAA provide information for the fiscal year preceding the fiscal year for which the plan is prepared, to the extent of which the AAA met the objectives described in (i).

The Year-End Report, which provides a mechanism through which the AAAs can report the status of annual objective accomplishments, coincides with the Financial Closeout process for the preceding fiscal year. The accomplishments also must be included in the Area Plan Update for the following year.

For Title III D include a brief written statement describing the III D and Medication Management activities.

## The Year-End Report will include, at a minimum:

- A Transmittal Letter signed by the AAA Director, Chair of the Advisory Council, and Chair of the Governing Board. This Transmittal Letter must be downloaded from WORD form and completed in WORD and remitted with the Year-End Report.
- 2. An <u>introduction</u> explaining the purpose of the report, including a <u>Narrative</u> <u>Description of Significant Accomplishments</u>.
- 3. A summary of ideas generated as a result of discussion of service system changes in anticipation of the surge in the growth in the aging population in the PSA. (Reference Part One Needs Assessment Preparing for the Increased Senior Population in 2006 and Beyond.)

### 4. The status of goals and objectives

- Include a discussion of the objectives set for the preceding year which
  were completed, remain incomplete, were deleted, and/or where changes
  were necessary. This section would also address circumstances that
  affected progress toward achieving specific goals, resulting in revised
  objectives. The results of achieving the objectives must be clearly
  identified and discussed.
- Include a brief written statement summarizing the Title III D and Medication Management activities provided in your PSA. Address the status of the Title III D objectives in your Area Plan.

- Status of objectives may be submitted in a narrative form or objective-byobjective.
- AAAs that expended Title III B funds for Program Development (PD) or Coordination (C) activities during the period covered by the Year-End Report must include an explanation of the status of each of the PD or C objectives. The explanation must clearly indicate what objectives were achieved, and as appropriate, explain why any PD or C objectives were deleted or extended into the next fiscal year. (See Part Two Section B for further reporting requirements related to PD or C objectives)
- The information regarding progress toward accomplishment of PD or C objectives will be used by CDA when reviewing and approving PD or C objectives.
- 5. Highlights and AAA achievements.
- 6. <u>A summary of activities</u>, including how the AAA will use the prior year findings to improve the service system.
- 7. The final year of the four-year planning cycle (2008-2009): The final Year-End Report for the four-year period must include a discussion of the impact of activities undertaken during the entire planning cycle and how the AAA will use these findings in the planning process to enhance or improve the local service system.

## c. Directions for Submission of Year-end Reports:

- The Year-End Report is due to CDA no later than August 31 each year. (See Area Plan Timetables in Part Three Section A)
- Submit one original and a copy of the Year-End Report and the signed original Transmittal Letter to Kathleen Hendrickson at:

California Department of Aging Attention: Area Plan Team/Kathleen Hendrickson 1300 National Drive Suite 200 Sacramento, California 95834

The Four-Year Area Plan Reference Guide, including instructions for completion of the Year-End Report, is available on the CDA Website at <a href="https://www.aging.ca.gov/">www.aging.ca.gov/</a>.

# YEAR-END REPORT TRANSMITTAL LETTER

AAA NAME:	<u></u>		PSA #:
	Check appropriate box	for:	
☐FY 2004	-05	FY 2007-	08 FY 2008-2009
This Year-End Repo	ort provides a retrospective account of p	orogress r	nade toward specified goals
during the above che	ecked fiscal year. It provides a perform	nance rep	ort for the community and
CDA. It reaffirms th	ne important role of AAAs as the advoc	cate, plan	ner, and administrator of
programs that strive	to address the care needs of older and	disabled a	adults and their families and
caregivers in their lo	cal Planning and Service Area.		
_	recognize the responsibility within eac		
Planning and Service	e Area. By signing below, we confirm	that we h	nave had the opportunity to
participate in the pla	nning process and to review and comm	nent on th	is Year-End Report.
1. (Type Name):	<u> </u>		
(Signed)			
	Chair, Governing Board	Ι	Date
2. (Type Name):	<u> </u>		
(Signed)			
	Chair, Area Agency on Aging Advisory Council	Ι	Date
3. (Type Name):	<u> </u>		
(Signed)			_
	Director, Area Agency on Aging	I	Date